

Attorney Docket: 27269U

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U.S. Department Of Commerce, Patent And Trademark Office		Date: 22 March 2006 (22 03.2006)
Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371		U.S. Application No.: (if known): No. 10/572933
International Application No.: PCT/FR2004/002424	International Filing Date: 24 September 2004 (24.09.2004)	Priority Date Claimed: 26 September 2003 (26.09.2003) FR-03 11325
Title of Invention: TOCOPHEROL DERIVATIVES WITH A LONG HYDROXYLATED CHAIN, WHICH CAN BE USED AS NEUROTROPHICS		
Applicants for DO/EO/US: LUU, Bang HEUSCHLING, Paul MULLER, Thierry MORG, Eleonora		

Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
- ☒ This is an express request to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
- ☒ The US has been elected (Article 31).
- ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)):
 - ☒ is transmitted herewith (required only if not transmitted by the International Bureau).
 - ☐ has been communicated by the International Bureau.
 - ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
- ☒ A English translation of the International Application as filed (35 U.S.C. 371(c)(2)).
- ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - ☐ are attached hereto (required only if not transmitted by the International Bureau).
 - ☐ have been communicated by the International Bureau.
 - ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - ☒ have not been made and will not be made.
- ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
- ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
- ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:

- ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
- ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. The assignment is in favor of UNIVERSITE LOUIS PASTEUR, 4 rue Blaise Pascal, F-67000 STRASBOURG, FRANCE; CENTRAL NATIONAL DE LA RECHERCHE SCIENTIFIQUE, 3 rue Michel Ange, F-75794 PARIS CEDEX 16, FRANCE; and UNIVERSITE DU LUXEMBOURG 162a avenue de la Faiencerie, L-1511 LUXEMBOURG-LIMPERTSBERG, LUXEMBOURG.
- ☒ A **FIRST** preliminary amendment.
- ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment
- ☐ A substitute specification.
- ☐ A change of power of attorney and/or address letter.
- ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825
- ☐ A second copy of the published international application under 35 USC 154(d)(4)
- ☐ A second copy of the English language translation of the international application under 35 USC 154(d)(4)
- ☒ Other items or information:

TRANSMITTAL LETTER; INTERNATIONAL PUBLICATION NUMBER: WO 2005/030748 A1, INTERNATIONAL PUBLICATION DATE: 7 April 2005 (07.04.2005), WITH THE ENGLISH TRANSLATION CONSISTING OF 27 PAGES: 22 PAGES OF TEXTUAL SPECIFICATION, 5 PAGES OF 17 CLAIMS, 0 PAGE OF THE ABSTRACT, 0 SHEETS OF DRAWINGS; PRELIMINARY AMENDMENT WITH ATTACHMENT A AND B TO BE EXAMINED; EXECUTED DECLARATION AND POWER OF ATTORNEY; ASSIGNMENT WITH RECORDATION COVER SHEET TO UNIVERSITE LOUIS PASTEUR, 4 rue Blaise Pascal, F-67000 STRASBOURG, FRANCE; CENTRAL NATIONAL DE LA RECHERCHE SCIENTIFIQUE, 3 rue Michel Ange, F-75794 PARIS CEDEX 16, FRANCE; and UNIVERSITE DU LUXEMBOURG 162a avenue de la Faiencerie, L-1511 LUXEMBOURG-LIMPERTSBERG, LUXEMBOURG; INFORMATION DISCLOSURE STATEMENT WITH 3 CITED REFERENCES; FORM PCT/ISA/237; FORM PCT/IB304; PCT/IB/308; POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST.

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U.S. Application Number: (if known): Not Yet Assigned 10/572933		International Application Number: PCT/FR2004/002424		Date: <u>22</u> March 2006 (<u>22</u> 03.2006)	
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The following fees are submitted:		<u>CALCULATIONS</u>	<u>PTO USE ONLY</u>
21. Basic National Fee (37 CFR 1.492(a))..... \$ 300.00		\$ 300.00	
22. Examination Fee (37 CFR 1.492 (c)) If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$ 0.00 All other situations \$ 200.00		\$ 200.00	
23. Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$ 0.00 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$ 100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB \$ 400.00 All other situations \$ 500.00		\$ 400.00	
_____ Additional fee for specification and drawings filed in paper over 100 sheets (excluding Sequence listing or computer program listing filed in an electronic medium). The fee is \$ 250.00 for each additional 50 sheets of paper or fraction thereof.			
ENTER APPROPRIATE BASIC FEE AMOUNT =		\$ 900.00	
Surcharge of \$130.00 for furnishing the oath or declaration later than <u>20</u> months from the earliest claimed priority date (37 CFR 1.492(e)).		\$ 0.00	

CLAIMS	NUMBER: FILED	NUMBER: EXTRA	RATE		
TOTAL	17-20=	0	X \$ 50.00	\$ 0.00	
INDEPENDENT	4-3=	1	X \$ 200.00	\$ 200.00	
Multiple dependent claims(s) (if applicable)			+ \$360.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 1100.00	
Reduction by 2 for asserting small entity, if applicable. (Note 37 CFR 1.9, 1.27, 1.28).				\$ 0.00	
SUBTOTAL =				\$ 1100.00	
Processing fee of \$130.00 for furnishing the English translation later than <u>20</u> months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$ 0.00	
TOTAL NATIONAL FEE =				\$ 1100.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$ 1140.00	
				Amount to be: refunded charged	\$ \$

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U.S. Application Number:
(if known): Not Yet Assigned

International Application
Number: PCT/FR2004/002424

Date: 22 March 2006 (22.03.2006)

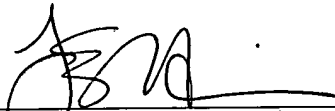
10/572933

- a. ☒ One check in the amount of \$ 1140.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account Number: 14-0112 in the amount of \$ _____ to cover the above fees. (A duplicate copy of this sheet is enclosed.)
- c. ☒ The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account Number: 14-0112.
- d. ☐ Fees are to be charged to a credit card ☐ WARNING: Information on this form may become public ☐ Credit Card Information should not be included on this form.
☐ Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

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10/572933

IAP9 Rec'd PCT/PTO 22 MAR 2006

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Date: March 22, 2006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

LUU et al.

Serial No.: Not Yet Assigned

Filed: March 22, 2006

Internatl. Appl. No.: PCT/FR2004/002424

Internatl. Filing Date: 24 September 2004 (24.09.2004)

Title: **TOCOPHEROL DERIVATIVES WITH A LONG HYDROXYLATED CHAIN, WHICH CAN BE USED AS NEUROTROPHICS**TRANSMITTAL LETTER

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- 1) Transmittal Letter;
- 2) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371;
- 3) International Publication Number: WO 2005/030748 A1; International Publication Date: 7 April 2005 (07.4.2005), with the English translation which consists of 27 pages:
 - 22 pages of Textual Specification,
 - 5 pages of 17 Claims,
 - 0 sheets of the Abstract,
 - 0 sheets of Drawings;
- 4) **Preliminary Amendment with Attachment A and B to be examined;**
- 5) Executed Declaration and Power of Attorney;
- 6) Executed Assignment with Recordation Cover Sheet to: **UNIVERSITE LOUIS PASTEUR**, 4 rue Blaise Pascal, F-67000 STRASBOURG, FRANCE; **CENTRAL NATIONAL DE LA RECHERCHE SCIENTIFIQUE**, 3 rue Michel Ange, F-75794 PARIS CEDEX 16, FRANCE, and **UNIVERSITE DU LUXEMBOURG** 162a avenue de la Faiencerie, L-1511 LUXEMBOURG-LIMPERTSBERG, LUXEMBOURG;
- 7) Information Disclosure Statement;
- 8) PTO Form 1449 with 3 cited references;
- 9) Form PCT/ISA/237;
- 10) PCT/IB/304;
- 11) PCT/IB/308;
- 12) Copy of 2 of the 3 cited references;
- 13) Check No.: 1864 in the Amount of \$ 1140.00 for the Basic Filing Fee, which includes the Search, and Examination Fees (\$900) and 1 independent claim in excess of 3 (\$200.00), as a Large Entity, and the Fee for Recordation of the Assignment (\$40);
- 14) Postcard for Early Notification of the Serial Number Request.

Respectfully submitted,
NATH & ASSOCIATES PLLC

By: 

Gary M. Nath, Reg. No. 26,965
Tanya E. Harkins, Reg. No. 52,993
Customer No. 20529

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GMN/TEH/SW (NATLPHASE APPLICATION)